



Attorney's Docket No. ARC 3043 R1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
Trautman, et al

Serial No: 09/976,798

Filed: 12 Oct 2001

For: APPARATUS AND METHOD FOR  
PIERCING SKIN WITH  
MICROPROTRUSIONS

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)  
) Group Art Unit: 3761  
)  
) Examiner: unknown  
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Assistant Commissioner for Patents  
Washington, D.C. 20231

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JUN 11 2002  
TECHNOLOGY CENTER 13700

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

Applicants submit herewith patents, publications and other information of which they are aware, which they believe an examiner may consider to be material to the patentability of the claims of this application, and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Supplemental Information Disclosure Statement may contain "material" information pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is either "material" or "prior art" to the invention disclosed and claimed in the above-referenced application unless specifically designated as such. Applicants specifically reserve the right, where appropriate, to avoid or antedate any such reference by the appropriate arguments or showings under 37 C.F.R. § 1.131 and § 1.608, or any other appropriate means.

A completed PTO Form SB/08A listing each reference which is not a U.S. Patent application is submitted herewith, and it respectfully requested that an Examiner initialed copy of the PTO Form SB/08A be returned to the undersigned.

A copy of each reference therein listed accompanies this Supplemental Information Disclosure Statement.

-OR-

NO copies of the references therein listed accompany this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.98(d), as each was previously cited by or submitted to the Patent

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Attorney's Docket No. ARC  
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Office in prior application Serial No. , filed , which this application relies upon for an earlier filing date under 35 U.S.C. § 120.

This Supplemental Information Disclosure Statement is not a representation that a search has been made or that no other information material to the patentability of this invention exists.

This Supplemental Information Disclosure Statement is being filed within three months of the filing or entry of the national stage of this application, or before the mailing of a first Office Action on the merits, whichever is later. No fee is required under 37 C.F.R. § 1.97(b). However, in the event that more than 90 days from filing have elapsed and a first Office Action on the merits has been mailed, the Commissioner is hereby authorized to charge the fee required under 37 C.F.R. 1.17(p) to Deposit Account Number 01-1173.

This Supplemental Information Disclosure Statement is being submitted *after* three months from the date of filing or entry of the national stage or this application, or *after* the mailing of a first Office Action, whichever is later, but *before* the mailing date of either a final Office Action or a Notice of Allowance.

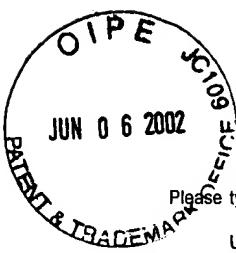
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**-OR-**

Certification as specified in 37 C.F.R. § 1.97(e) follows:

*Each* item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application no more than three months prior to the filing of this statement.

*No* item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of this Supplemental Information Disclosure Statement.



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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/976,798
Filing Date	October 12, 2001
First Named Inventor	Joseph C. Trautman <i>IVED</i>
Group Art Unit	3761
Examiner Name	JUN 11 2002

Attorney Docket Number TECHNOLOGY CENTER R3700  
ARC 3043 R1

### ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Acknowledgement postcard
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<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> Copy of Search Report
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Owen J. Bates; ALZA Corporation
Signature	<i>Owen J. Bates</i>
Date	24 May 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: *24 May 2002*

Typed or printed name	Elizabeth Grannell
Signature	<i>Elizabeth Grannell</i>
Date	24 May 2002

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The Examiner is hereby requested to consider these references and other information and make them of record in the above-referenced application. Applicants respectfully submit that the claims of this application are patentable over the above-cited references and information. Examination and allowance of this application at an early date are requested.

Respectfully submitted,

Date: 24 May 2002

By: Owen J. Bates  
Owen J. Bates, Reg. No. 40,436

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ALZA CORPORATION

BY: Elizabeth Grannell  
Elizabeth Grannell